

**IN THE UNITED STATES  
PATENT AND TRADEMARK OFFICE**

APPLICANTS: Bing Guo, Ian M. Kennedy, Dosi Dosev, Darina Melnikov and  
Mikaela Nichkova

APPLICATION NO.: 10/576,776

FILING DATE: April 20, 2006

INT'L APPLICATION NO: PCT/US2004/035295

INT'L FILING DATE: October 22, 2004

TITLE: Methods for Preparing and Functionalizing Nanoparticles

ATTY. DKT. NO.: 23540-09582 (2004-167-2)

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ALEXANDRIA, VA 22313-1450

**REQUEST FOR CORRECTED FILING DATE**

SIR:

Attached is a copy of the Notification of Missing Requirements. It contains the following error:

The filing date is erroneously stated as April 21, 2006. The correct filing date is April 20, 2007 as evidenced by the a) Certificate of Mailing, which contains a proper certification under 37 CFR § 1.10; and the b) Express Mail receipt issued by the United States Postal Service indicating that the Applicant's representative, did in fact deposit the package containing the application with the United States Postal Service on April 20, 2006. True copies of each of these documents are attached.

An official Filing Receipt has not yet been received for this application. Please correct this error upon issuance of the official Filing Receipt.

Respectfully submitted,  
BING GUO ET AL.

Dated: April 10, 2007

By: /Jennifer R. Bush/  
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## UNITED STATES PATENT AND TRADEMARK OFFICE

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U.S. APPLICATION NUMBER NO.	FIRST NAMED APPLICANT	ATTY. DOCKET NO.
10/576,776	Bing Guo	2354009582

Jennifer R. Bush  
 Fenwick & West  
 Silicon Valley Center  
 801 California Street  
 Mountain View, CA 94041

INTERNATIONAL APPLICATION NO.	
PCT/US04/35295	
LA. FILING DATE	PRIORITY DATE
10/22/2004	10/22/2003

**CONFIRMATION NO. 6047**  
**371 FORMALITIES LETTER**

\*OC000000021076582\*

Date Mailed: 11/03/2006

### NOTIFICATION OF MISSING REQUIREMENTS UNDER 35 U.S.C. 371 IN THE UNITED STATES DESIGNATED/ELECTED OFFICE (DO/EO/US)

The following items have been submitted by the applicant or the IB to the United States Patent and Trademark Office as a Designated / Elected Office (37 CFR 1.495).

- Indication of Small Entity Status
- Copy of the International Application filed on 04/21/2006
- Copy of the International Search Report filed on 04/21/2006
- Copy of Annexes to the IPER filed on 04/21/2006
- Information Disclosure Statements filed on 04/21/2006
- Small Entity Statement filed on 04/21/2006
- U.S. Basic National Fees filed on 04/21/2006
- Priority Documents filed on 04/21/2006
- Specification filed on 04/21/2006
- Claims filed on 04/21/2006
- Abstracts filed on 04/21/2006
- Drawings filed on 04/21/2006

**Fenwick & West LLP**

NOV 06 2006

**RECEIVED**

The applicant needs to satisfy supplemental fees problems indicated below.

The following items **MUST** be furnished within the period set forth below in order to complete the requirements for acceptance under 35 U.S.C. 371:

- Oath or declaration of the inventors, in compliance with 37 CFR 1.497(a) and (b), identifying the application by the International application number and international filing date.
- To avoid abandonment, a surcharge (for late submission of filing fee, search fee, examination fee or oath or declaration) as set forth in 37 CFR 1.492(h) of \$65 for a small entity in compliance with 37 CFR 1.27, must be submitted with the missing items identified in this letter.

## SUMMARY OF FEES DUE:

Total additional fees required for this application is **\$65** for a Small Entity:

- \$65 Surcharge.

**ALL OF THE ITEMS SET FORTH ABOVE MUST BE SUBMITTED WITHIN TWO (2) MONTHS FROM THE DATE OF THIS NOTICE OR BY 32 MONTHS FROM THE PRIORITY DATE FOR THE APPLICATION, WHICHEVER IS LATER. FAILURE TO PROPERLY RESPOND WILL RESULT IN ABANDONMENT.**

The time period set above may be extended by filing a petition and fee for extension of time under the provisions of 37 CFR 1.136(a).

Applicant is reminded that any communications to the United States Patent and Trademark Office must be mailed to the address given in the heading and include the U.S. application no. shown above (37 CFR 1.5)

Registered users of EFS-Web may alternatively submit their reply to this notice via EFS-Web.  
<https://portal.uspto.gov/authenticate/AuthenticateUserLocalEPF.html>

For more information about EFS-Web please call the USPTO Electronic Business Center at 1-866-217-9197 or visit our website at <http://www.uspto.gov/ebc>.

**If you are not using EFS-Web to submit your reply, you must include a copy of this notice.**

VONDA M WALLACE

Telephone: (703) 308-9140 EXT 225

## PART 1 - ATTORNEY/APPLICANT COPY

U.S. APPLICATION NUMBER NO.	INTERNATIONAL APPLICATION NO.	ATTY. DOCKET NO.
10/576,776	PCT/US04/35295	2354009582

FORM PCT/DO/EO/905 (371 Formalities Notice)

TRANSMITTAL LETTER TO THE  
UNITED STATES RECEIVING OFFICE

35 U.S.C. §371 Filing Date	Even Date Herewith
U.S. Application No.	Not Yet Assigned
Attorney Docket No.	23540-09582

I. ☒ Certificate of Mailing

EV442656969US

Express Mail Mailing Number (optional)

20 April 2004

Date

I hereby certify that this correspondence, including the enclosures identified below, is being deposited with the United States Postal Service as first class mail in an envelope addressed to: Commissioner for Patents & Trademarks, P.O. Box 1450, Alexandria, VA 22313-1450 on the date shown above. If the Express Mail Mailing Number is filled in above, then this correspondence is being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service pursuant to 37 CFR 1.10.

Signature

Jennifer R. Bush

Typed or printed name

II. ☐ New International Application

TITLE

Earliest priority date  
(Day/Month/Year)

**SCREENING DISCLOSURE INFORMATION:** In order to assist in screening the accompanying international application for purposes of determining whether a license for foreign transmittal should and could be granted and for other purposes, the following information is supplied. (Note: check as many boxes as apply):

- A. ☐ The invention disclosed was not made in the United States.  
B. ☐ There is no prior U.S. application relating to this invention.  
C. ☐ The following prior U.S. application(s) contain subject matter which is related to the invention disclosed in the attached international application.

(NOTE: priority to these applications may or may not be claimed on form PCT/RO/101 (Request) and this listing does not constitute a claim for priority)

application no.	filing date
application no.	filing date

- D. ☐ For foreign filing licenses purposes, the present international application ☐ contains the same subject matter as ☐ contains less subject matter than, that found in the prior U.S. application(s) identified in paragraph C above.  
E. ☐ The present international application ☐ contains additional subject matter not found in the prior U.S. application(s) identified in paragraph C above. The additional subject matter is found on pages   
and ☐ DOES NOT ALTER ☐ MIGHT BE CONSIDERED TO ALTER the general nature of the invention in a manner which would require the U.S. application to have been made available for inspection by the appropriate defense agencies under 35 U.S.C. 181 and 37 CFR 5.1. See 37 CFR 5.15.

III. ☐ A Response to an Invitation from the RO/US. The following document(s) is(are) enclosed:

- A. ☐ A Request for An Extension of Time to File a Response  
B. ☐ A Power of Attorney (General or Regular) (2)  
C. ☐ Replacement pages:

pages	of the request (PCT/RO/101)	pages	of the figures
pages	of the description	pages	of the abstract
pages	of the claims		

- D. ☐ Submission of Priority Documents

Priority document	Priority Document
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- E. ☐ Fees as specified on PCT/RO/102 (January 2003)

IV. ☐ A Request for Rectification under PCT Rule 91 ☐ A Petition ☐ A Sequence Listing Diskette

V. ☒ Other (please identify):

Transmittal Letter to the United States Designated/Elected Office (DO/EO/US) Concerning a Submission Under 35 U.S.C. 371 and enclosures.

The person signing  
this form is the:

☐ Applicant

☒ Attorney/Agent (Reg. No.)

50,784

☐ Common Representative

Jennifer R. Bush

Typed name of signer

Signature

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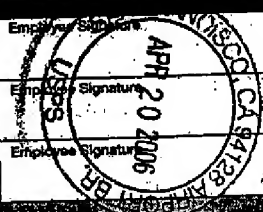
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PHONE ( )

FENWICK & WEST LLP  
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23540-09582  
Jennifer R. Bush/sglenn  
April 20, 2006

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